

EXPRESS MAIL NO: EL 501 638 155 US

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Application of: Pramod K. Srivastava

Application No.: 09/750,972

Art Unit: Not yet assigned

Filed: December 28, 2000

Examiner: Not yet assigned

For: ALPHA (2) MACROGLOBULIN RECEPTOR Attorney Docket No.: 8449-134  
AS A HEAT SHOCK PROTEIN RECEPTOR  
AND USES THEREOF

**TRANSMITTAL OF DECLARATION, POWER OF ATTORNEY, VERIFIED  
STATEMENTS AND REQUEST TO ESTABLISH SMALL ENTITY  
STATUS, AND REQUEST FOR REFUND**

Assistant Commissioner for Patents  
Washington, DC 20231

Sir:

The Applicant submits herewith the following documents for the above-mentioned application: (1) an original Declaration executed by the inventor Pramod K. Srivastava on February 27, 2001; (2) a Power of Attorney executed by Michael F. Newborg on behalf of University of Connecticut Health Center; (3) a Verified Statement Claiming Small Entity Status for Antigenics, LLC; (4) a Verified Statement Claiming Small Entity Status for the University of Connecticut Health Center; and (5) a Request For Refund Under 37 CFR 1.27(a).

The Applicant has assigned his entire right, title and interest in the instant application to the University of Connecticut Health Center (a copy of the Assignment is enclosed). The University of Connecticut Health Center has granted certain rights in the application to Antigenics, LLC. The University of Connecticut qualifies as a Small Entity under 37 C.F.R. §§ 1.27(a)(3). Antigenics, LLC qualifies as a Small Entity under 37 C.F.R. §§ 1.27(a)(2).

It is respectfully requested that the application be accorded Small Entity Status in accordance with 37 C.F.R. §§ 1.27(a)(2), and 1.27(a)(3). The surcharge for filing the enclosed Declaration and Power of Attorney is estimated to be \$65.00 for a small entity. Please charge the

required fee to Pennie & Edmonds LLP Deposit Account No. 16-1150. A duplicate of this sheet is enclosed for accounting purposes.

Respectfully submitted,

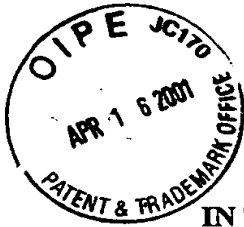
Date: March 19, 2001

  
Adriane M. Antler

32,605  
(Reg. No.)

**PENNIE & EDMONDS LLP**  
1155 Avenue of the Americas  
New York, New York 10036-2711  
(212) 790-9090

Enclosures



Express Mail No.: EL 501 638 155 US

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application of: Pramod K. Srivastava

Application No.: 09/750,972

Group Art Unit: Not yet assigned

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For: ALPHA (2) MACROGLOBULIN RECEPTOR  
AS A HEAT SHOCK PROTEIN RECEPTOR  
AND USES THEREOF

Attorney Docket No.: 8449-134

REQUEST FOR REFUND PURSUANT TO 37 C.F.R. § 1.28(a)

Assistant Commissioner for Patents  
Washington, D.C. 20231

Attention: Refund Section, Accounting Division

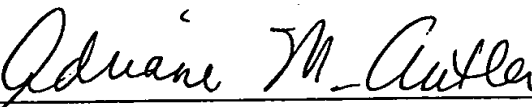
Sir:

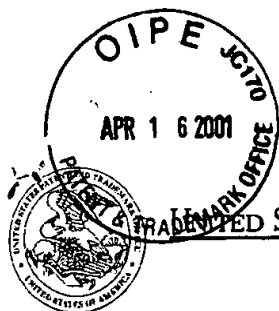
A filing fee in excess of the required fee has been paid in connection with the subject patent application. In particular, a fee of \$4,788.00 has been timely paid from Pennie & Edmonds LLP Deposit Account No. 16-1150, of which \$2394.00 is in excess of the amount now required. Pursuant to 37 C.F.R. § 1.28(a), Applicant requests a refund of the excess amount within three months of its timely payment.

Accordingly, please refund the excess by crediting \$2394.00 to Deposit Account No. 16-1150. A duplicate copy of this sheet is enclosed.

Respectfully submitted,

Date: March 19, 2001

 32,605  
Adriane M. Antler (Reg. No.)  
PENNIE & EDMONDS LLP  
1155 Avenue of the Americas  
New York, New York 10036-2711  
(212) 790-9090



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/750,972	12/28/2000	Pramod K. Srivastava	8449-134

20583  
PENNIE AND EDMONDS  
1155 AVENUE OF THE AMERICAS  
NEW YORK, NY 100362711

CONFIRMATION NO. 7769

## FORMALITIES LETTER



\*OC000000005866599\*

Oath/Decl + Fee: 8/18/01

Seq. Listing: 5/15/01

Date Mailed: 03/15/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

04/19/2001 EEKUBAY1 00000035 161150 09750972

FILED UNDER 37 CFR 1.53(b)

01 FC:205 65.00 CH

Filing Date Granted

Adjustment date: 10/05/2001 YGIZAW  
04/19/2001 EEKUBAY1 00000035 161150 09750972  
01 FC:205 65.00 CR

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 130.
- This application clearly fails to comply with the requirements of 37 C.F.R. 1.821-1.825. Applicant's attention is directed to the final rulemaking notice published at 55 FR 18230 (May 1, 1990), and 1114 OG 29 (May 15, 1990). If the effective filing date is on or after July 1, 1998, see the final rulemaking notice published at 63 FR 29620 (June 1, 1998) and 1211 OG 82 (June 23, 1998). If the effective filing date is on or after September 8, 2000, see the final rulemaking notice published in the Federal Register at 65 FR 54604 (September 8, 2000) and 1238 OG 145 (September 19, 2000). Applicant must provide an initial computer readable form (CRF) copy of the "Sequence Listing", an initial paper or compact disc copy of the "Sequence Listing", as well as an amendment directing its entry into the application. Applicant must also provide a statement that the content of the sequence listing information recorded in computer readable form is identical to the written (on paper or compact disc) sequence listing and, where applicable, includes no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b), or 1.825(d). If applicant desires the sequence listing in the instant application to be identical with that of another application on file in the Patent and Trademark Office, such request in accordance with 37 CFR 1.821(e) may be submitted in lieu of a new CRF.

For questions regarding compliance to these requirements, please contact:

- For Rules Interpretation, call (703) 308-4216
- To Purchase PatentIn Software, call (703) 306-2600
- For PatentIn Software Program Help, call (703) 306-4119 or e-mail at

REFERRED TO <u>Antler/</u> REC'D <u>Brown</u>
MAR 22 2001
Pennie & Edmonds O.K. for filing

patin21help@uspto.gov or patin3help@uspto.gov

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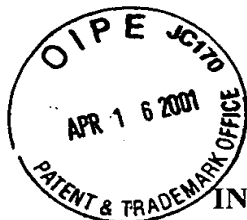
*A copy of this notice MUST be returned with the reply.*

Worrene Merco

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE



04-18-01  
0400 03/26/01

Sector

M.I.E

Express Mail No.: EL 501 638 478 US

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application of: Srivastava, Pramod K.

Application No.: 09/750,972

Group Art Unit: 1645

Filed: December 28, 2000

Examiner: To be assigned

For: ALPHA (2) MACROGLOBULIN AS A  
HEAT SHOCK PROTEIN RECEPTOR  
AND USES THEREOF

Atty. Docket No.: 8449-134

**RESPONSE TO NOTICE TO FILE MISSING PARTS OF  
NONPROVISIONAL APPLICATION**

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

In response to the Notice to File Missing Parts of Nonprovisional Application dated March 15, 2001 ("Notice"), Applicant respectfully points out that the requested executed declaration is no longer due. On March 19, 2001, Applicant filed in the United States Patent and Trademark Office ("PTO"), by Express Mail, the following documents: Transmittal, Power of Attorney, a Request for Refund, each bearing Express Mail No. EL 501 638 155 US, accompanied by the executed Declaration, and two Verified Statements Claiming Small Entity Status. A copy of each of these documents, as well as a copy of the postcard receipt evidencing receipt of these documents by the PTO, is attached hereto as Exhibit A. Also enclosed as part of Exhibit A is a copy of the Express Mail Receipt for label EL 501 638 155 US and bearing a "date-in" of March 19, 2001.

In accordance with 37 C.F.R. § 1.821, Applicant also submits herewith a Sequence Listing in paper and computer readable form pursuant to 37 C.F.R. §§ 1.821(c) and (e), as well as a Preliminary Amendment directing its entry into the specification.

I hereby state that the content of the paper and computer readable copies of the Sequence Listing, submitted in accordance with 37 C.F.R. §§ 1.821(c) and (e), respectively, are the

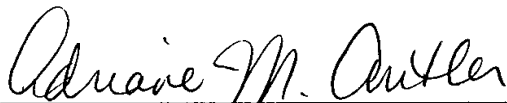
same. I hereby state that the submission herein under 37 C.F.R. § 1.821(g) does not include new matter.

Accordingly, these documents are believed to fulfill the requirements of the Notice. A copy of the Notice is enclosed.

Since the surcharge of \$65.00 (small entity) for filing the Declaration after the filing date was authorized to be charged to the deposit account of Attorneys for Applicant on March 19, 2001, no fee is now believed to be due. However, in the event that the PTO should determine that a fee is required, please charge the required fee to Pennie & Edmonds LLP Deposit Account No. 16-1150.

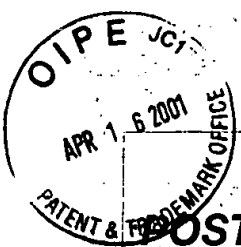
Respectfully submitted,

Date: April 16, 2001

  
Adriane M. Antler 32,605  
(Reg. No.)

**PENNIE & EDMONDS LLP**  
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New York, New York 10036-2711  
(212) 790-9090

Enclosures

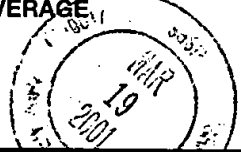


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<b>FROM: (PLEASE PRINT)</b> PENNIE & EDMONDS LLP 1155 AVENUE OF THE AMERICAS 17TH FL NEW YORK NY 10036-2711	<b>PHONE</b>
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<b>TO: (PLEASE PRINT)</b> ASSISTANT COMMISSIONER FOR PATENTS WASHINGTON DC 20231-9999	<b>PHONE</b>
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